

06/23/00



jc866 U.S. PTO

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PTO/SB/05 (12/97)

Approved for use through 09/30/00. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 053313.P017Total Pages 3First Named Inventor or Application Identifier William S. OakleyExpress Mail Label No. EL639015603US

jc829 U.S. PTO

09/602345

06/23/00

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, D. C. 20231

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. XX Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
2. XX Specification (Total Pages 14)  
(preferred arrangement set forth below)
  - Descriptive Title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claims
  - Abstract of the Disclosure
3. X Drawings(s) (35 USC 113) (Total Sheets 4)
4. X Oath or Declaration (Total Pages 4)
  - a. X Newly Executed (Original or Copy)
  - b.      Copy from a Prior Application (37 CFR 1.63(d))  
(for Continuation/Divisional with Box 17 completed) (**Note Box 5 below**)
  - i.      DELETIONS OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
5.      Incorporation By Reference (useable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6.      Microfiche Computer Program (Appendix)

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(if applicable, all necessary)

- ## ACCOMPANYING APPLICATION PARTS

17. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:

18. **Correspondence Address**

<b>X</b>	<b>Correspondence Address Below</b>
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Country	U.S.A.	TELEPHONE	(408) 720-8598	FAX	(408) 720-9397
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Respectfully submitted,

BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP

Date: 6/23/00

By Andrew C. Chen  
Andrew C. Chen

12400 Wilshire Boulevard  
Seventh Floor  
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Reg. No.: 43,544

"Express Mail" mailing label number: EL639015603US

Date of Deposit: June 23, 2000

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to the Assistant Commissioner for Patents, Washington, D. C. 20231

Carrie Boccaccini

(Typed or printed name of person mailing paper or fee)

Carrie Boccaccini  
(Signature of person mailing paper or fee)

6-23-2000  
(Date signed)

Serial/Patent No.: \*\*\*\* Filing/Issue Date: Herewith

Client: Lots Technology, Inc.

Title: MULTI-CHANNEL OPTICAL RECORDING USING VCSEL ARRAYS

BSTZ File No.: 053313.P017 Atty/Secty Initials: ACC/cab

Date Mailed: June 23, 2000 Docket Due Date: \*\*\*\*

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

- |   |  |  |
|---|--|--|
| <input type="checkbox"/> Amendment/Response (____ pgs.)   | <input checked="" type="checkbox"/> Express Mail No. <u>EL639015603US</u>            | <input checked="" type="checkbox"/> Check No. <u>35920</u> |
| <input type="checkbox"/> Appeal Brief (____ pgs.) (in triplicate)                                 | <input type="checkbox"/> _____ Month(s) Extension of Time                            | Amt: <u>\$766.00</u>                                       |
| <input checked="" type="checkbox"/> Application - Utility <u>14</u> pgs., with cover and abstract | <input type="checkbox"/> Information Disclosure Statement & PTO-140 (____ pgs.)      | <input type="checkbox"/> Check No. _____                   |
| <input type="checkbox"/> Application - Rule 1.53(b) Continuation (____ pgs.)                      | <input type="checkbox"/> Issue Fee Transmittal                                       | Amt: _____   |
| <input type="checkbox"/> Application - Rule 1.53(b) Divisional (____ pgs.)                        | <input type="checkbox"/> Notice of Appeal  |  |
| <input type="checkbox"/> Application - Rule 1.53(b) CIP (____ pgs.)                               | <input type="checkbox"/> Petition for Extension of Time                              |  |
| <input type="checkbox"/> Application - Rule 1.53(d) CPA Transmittal (____ pgs.)                   | <input type="checkbox"/> Petition for _____  |  |
| <input type="checkbox"/> Application - Design (____ pgs.)   | <input checked="" type="checkbox"/> Postcard   |  |
| <input type="checkbox"/> Application - PCT (____ pgs.)  | <input type="checkbox"/> Power of Attorney (____ pgs.)                               |  |
| <input type="checkbox"/> Application - Provisional (____ pgs.)                                    | <input type="checkbox"/> Preliminary Amendment (____ pgs.)                           |  |
| <input checked="" type="checkbox"/> Assignment and Cover Sheet                                    | <input type="checkbox"/> Reply Brief (____ pgs.)                                     |  |
| <input checked="" type="checkbox"/> Certificate of Mailing  | <input type="checkbox"/> Response to Notice of Missing Parts                         |  |
| <input checked="" type="checkbox"/> Declaration & POA ( <u>4</u> pgs.) (signed)                   | <input type="checkbox"/> Small Entity Declaration for Indep. Inventor/Small Business |  |
| <input type="checkbox"/> Disclosure Docs & Qig & Copy of Inventor's Signed Letter (____ pgs.)     | <input checked="" type="checkbox"/> Transmittal Letter, in duplicate                 |  |
| <input checked="" type="checkbox"/> Drawings: <u>4</u> # of sheets includes <u>6</u> figures      | <input checked="" type="checkbox"/> Fee Transmittal, in duplicate                    |  |

☐ Other: \_\_\_\_\_

**FEE TRANSMITTAL FOR FY 2000****TOTAL AMOUNT OF PAYMENT (\$)** \$766.00**Complete if Known:****Application No.** New Application**Filing Date** Herewith**First Named Inventor** William S. Oakley**Group Art Unit** Not Yet Assigned**Examiner Name** Not Yet Assigned**Attorney Docket No.** 053313.P017**METHOD OF PAYMENT (check one)**

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

**Deposit Account Number** 02-2666**Deposit Account Name** \_\_\_\_\_

- ☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

2. ☒ **Payment Enclosed:**

☒ **Check**☐ **Money Order**☐ **Other****FEE CALCULATION****1. BASIC FILING FEE**

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Code</u>	<u>Fee (\$)</u>	<u>Code</u>	<u>Fee (\$)</u>		
101	690	201	345	Utility application filing fee	<u>690.00</u>
106	310	206	155	Design application filing fee	_____
107	480	207	240	Plant filing fee	_____
108	690	208	345	Reissue filing fee	_____
114	150	214	75	Provisional application filing fee	_____

**SUBTOTAL (1)** \$ 690.00**2. EXTRA CLAIM FEES**

			<u>Extra Claims</u>	<u>Fee from below</u>	<u>Fee Paid</u>
<b>Total Claims</b>	<u>22</u>	- 20** =	<u>2</u>	X <u>18.00</u>	= <u>36.00</u>
<b>Independent Claims</b>	<u>3</u>	- 3** =	<u>0</u>	X <u>78.00</u>	= <u>0.00</u>
<b>Multiple Dependent</b>					= _____

**\*\*Or number previously paid, if greater; For Reissues, see below.**

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>
<u>Code</u>	<u>Fee (\$)</u>	<u>Code</u>	<u>Fee (\$)</u>	
103	18	203	9	Claims in excess of 20
102	78	202	39	Independent claims in excess of 3
104	260	204	130	Multiple dependent claim, if not paid
109	78	209	39	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** \$ 36.00

01/10/2000

- 1 -

PTO/SB/17 (6/99)

Patent fees are subject to annual revisions. Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid.

See Forms PTO/SB/09-12

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**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

<u>Large Entity</u>		<u>Small Entity</u>		<u>Fee Description</u>	<u>Fee Paid</u>
<u>Fee Code</u>	<u>Fee (\$)</u>	<u>Fee Code</u>	<u>Fee (\$)</u>		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for response within first month	
116	380	216	190	Extension for response within second month	
117	870	217	435	Extension for response within third month	
118	1,360	218	680	Extension for response within fourth month	
128	1,850	228	925	Extension for response within fifth month	
119	300	219	150	Notice of Appeal	
120	300	220	150	Filing a brief in support of an appeal	
121	260	221	130	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive unavoidably abandoned application	
141	1,210	241	605	Petition to revive unintentionally abandoned application	
142	1,210	242	605	Utility issue fee (or reissue)	
143	430	243	215	Design issue fee	
144	580	244	290	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00
146	690	246	345	For filing a submission after final rejection (see 37 CFR 1.129(a))	
149	690	249	345	For each additional invention to be examined (see 37 CFR 1.129(a))	
Other fee (specify) _____					
Other fee (specify) _____					

**SUBTOTAL (3) \$ 40.00**

\*Reduced by Basic Filing Fee Paid

**SUBMITTED BY:**Typed or Printed Name: Andrew C. ChenSignature Andrew C Chen Date 6/23/00Reg. Number 43,544 Deposit Account User ID \_\_\_\_\_  
(complete if applicable)